Rating Phase Guidance

June 2010

NICCP
NATIONAL INTELLIGENCE
CIVILIAN COMPENSATION PROGRAM

DCIPS
DEFENSE CIVILIAN INTELLIGENCE
PERSONNEL SYSTEM

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INTRODUCTION

Background

- DCIPS employee's period of performance runs from 19 Jul 09 through 30 Sep 10
- FY10 is the first full performance period under DCIPS for Army intelligence personnel
- Non-rated time between TAPES close-out and 19 Jul 09 can be included in an employee's self-report and considered by raters

Why Evaluations of Record are Important

- To provide employees an accurate, fair assessment of their performance

- To allow employees with an approved Evaluation of Record to be considered for a performance-based bonus

Guidance Purpose

This brief provides guidance pertaining to the Rating Phase of the Performance Management Cycle and the related activities completed by:

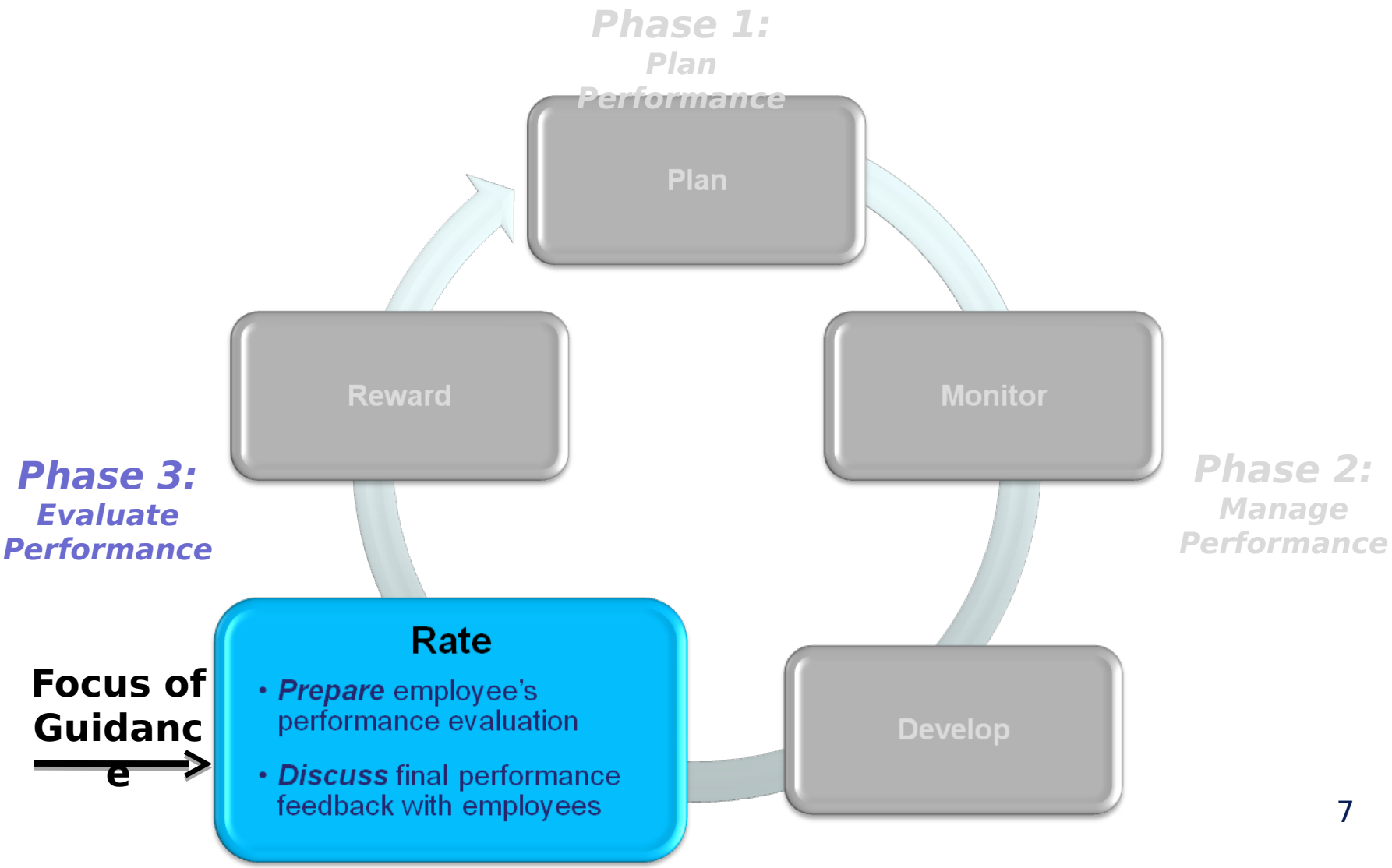
- Employees
- Rating Officials
- Reviewing Officials
- Performance Management Performance Review Authority

Supplemental information will also be covered in the areas of:

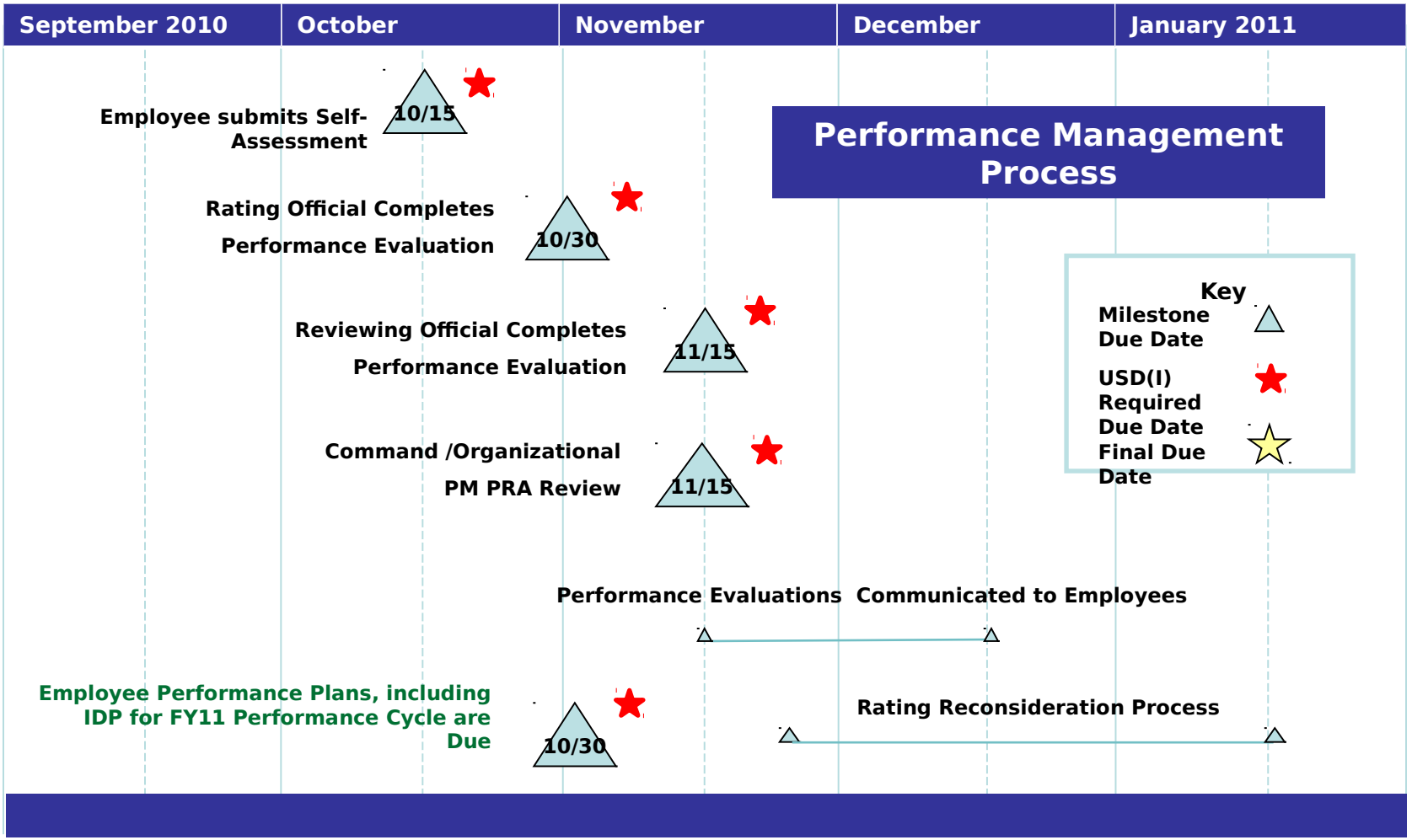
- Rating cycle and important milestones
- Closeout appraisal process

This guidance is only a supplement to the Performance Management Handbook and relevant Rating Policies published by the Army.

Performance Management Cycle



FY2010 DCIPS Year End Performance Management Schedule



ROLES & RESPONSIBILITIES

Roles & Responsibilities

Role	Responsibility
Employee	The employee completes the self report of accomplishments for the evaluation period. In the self-report of accomplishments the employee must address their accomplishment against each performance objective and performance elements. At the end of the phase the employee participates in a performance feedback session with their Rating Official.
Rating Official	The Rating Official completes a narrative assessment of employee's performance that accurately reflects employee's accomplishments and rating in accordance with established performance standards. The Rating Official must make meaningful distinctions among employees based on performance and contribution by completing closeout evaluations and performance evaluations as required within established timelines.
Reviewing Official	The Reviewing Official provides a second-level review during the rating phase to ensure consistency between and among Rating Officials. They review and approve employee Closeout Evaluations and employee performance evaluations.
Performance Management Performance Review Authority (PM PRA)	A senior leader or group of senior leaders, the PM PRA provides oversight across the organization to ensure rating consistency by conducting a statistical review of the employee evaluations of record and Closeout Performance Evaluations. The PM PRA returns out of scope ratings to Reviewing Official for second review.
Data Administrators	Support the administrative aspects of the PM review process by assigning pay pool IDs; providing necessary reports and tools to facilitate the Reviewing Official and PM PRA process as required; making corrections to the performance

RATING PHASE PROCESS

DCIPS Performance Management System of Record

Performance Appraisal Application (PAA) Tool

The Performance Appraisal Application tool is the system of record to document the DCIPS Performance Management process. On a very limited basis, those organizations who do not have access to the PAA, may use the off-line DCIPS 2906D Form.

Overview of the Rating Phase Process

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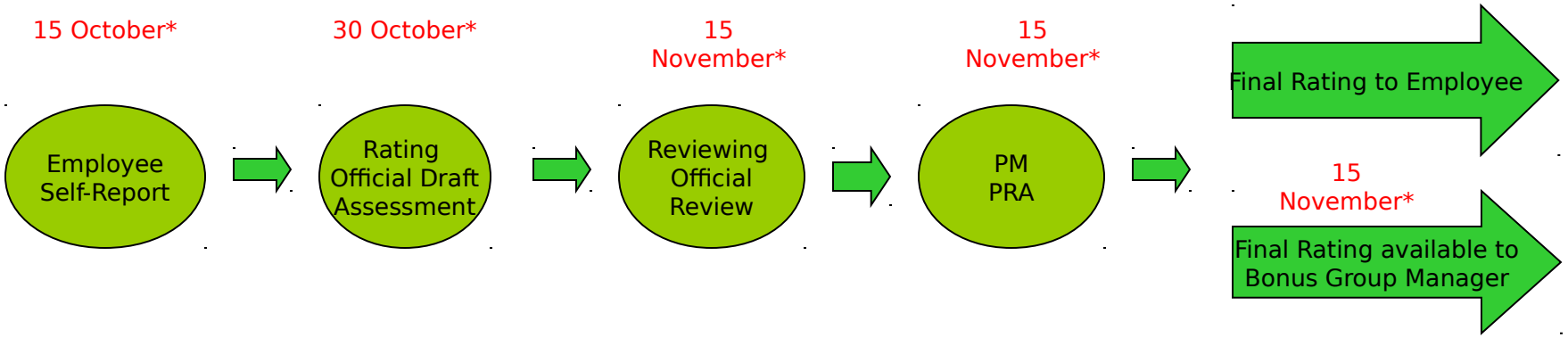
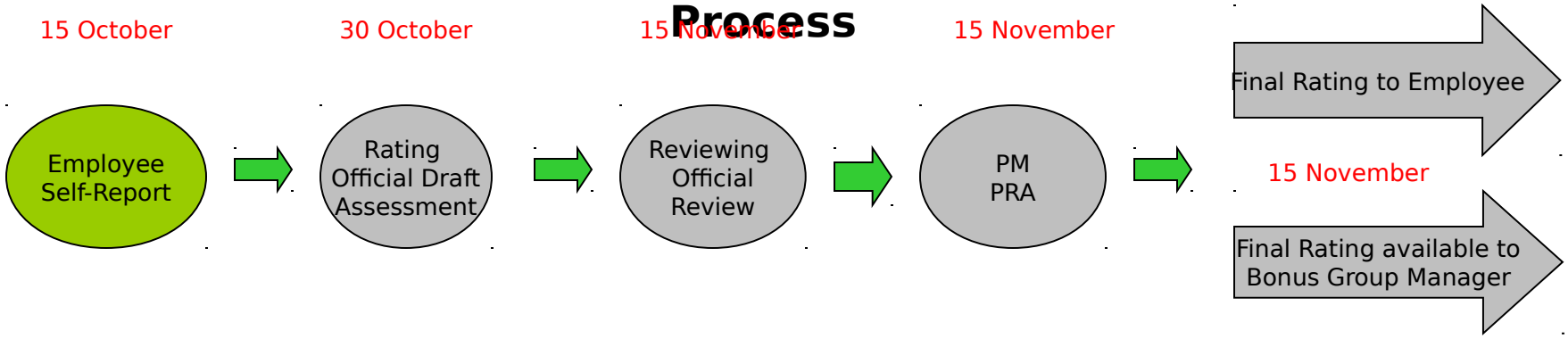
Performance Rating and Review Process



* Dates in red indicate policy due dates. Organizations may have different due dates as long as they are compliant with established policy due dates above

Rating Phase Process - Employee

Performance Rating and Review Process



Employee Activities

•Employees should draft and submit their Employee Self-Report of Accomplishments in accordance with organizational deadlines

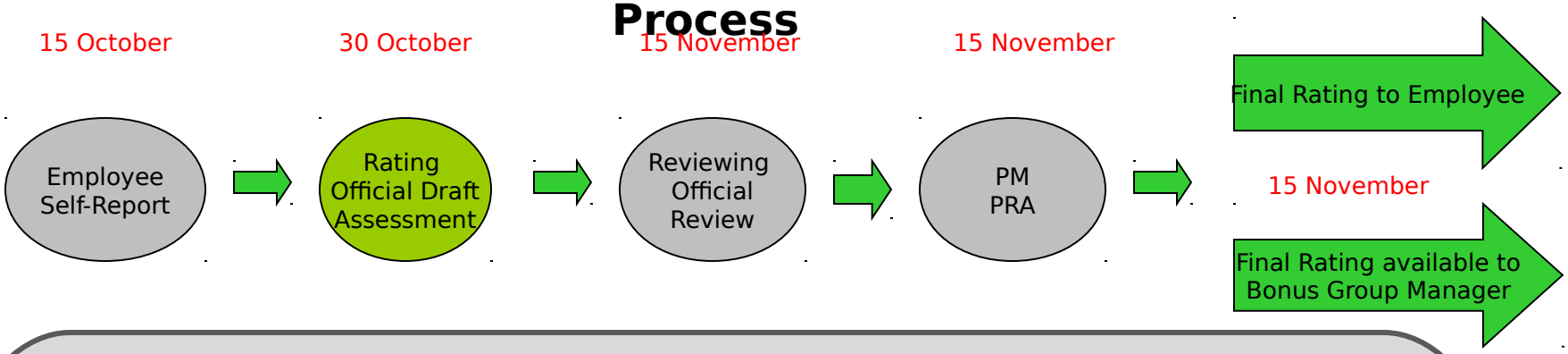
Employee Self-Report of Accomplishments must:

•address each performance objective and performance elements in accordance with established policy

•provide factual statements of accomplishments (i.e. I completed 100% of 147 assigned tasks)

Rating Phase Process – Rating Official

Performance Rating and Review Process

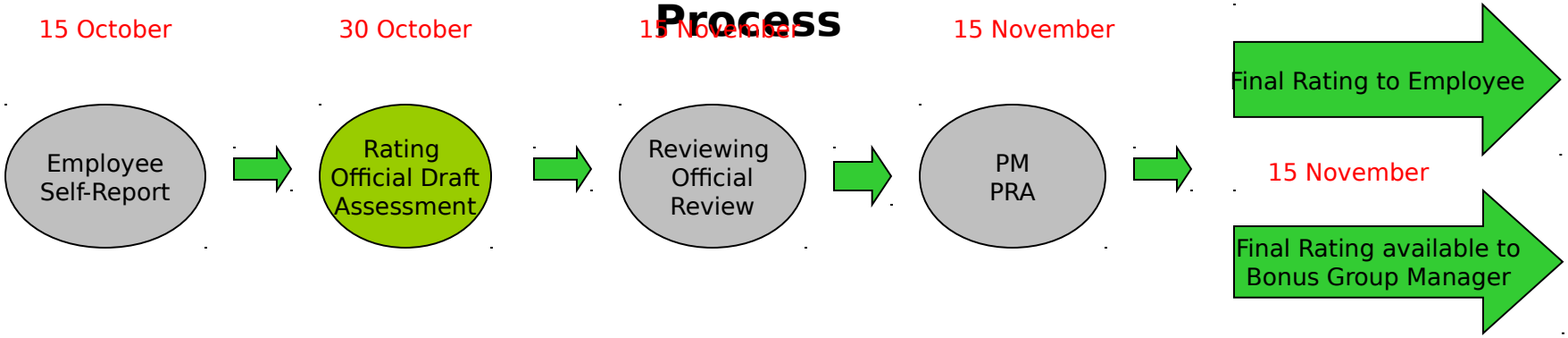


Rating Official Activities

- Prepare a narrative and numerical evaluation of employee's performance for each performance objective and performance element with appropriate consideration of the employee's self-report
- Address the effects of the employee's accomplishments on the organizational goals and objectives
- Rate employee accomplishments of performance objectives in accordance with the performance objective rating descriptors
- Rate employee demonstration of performance elements in accordance with the performance element rating descriptors
- Ensure narrative supports the numerical rating
- Identify any specially situated employees to the Data Administrator to be included in the PM PRA review process (refer to Specially Situated Employees Section in this Guide)

Rating Phase Process – Rating Official – Cont'd

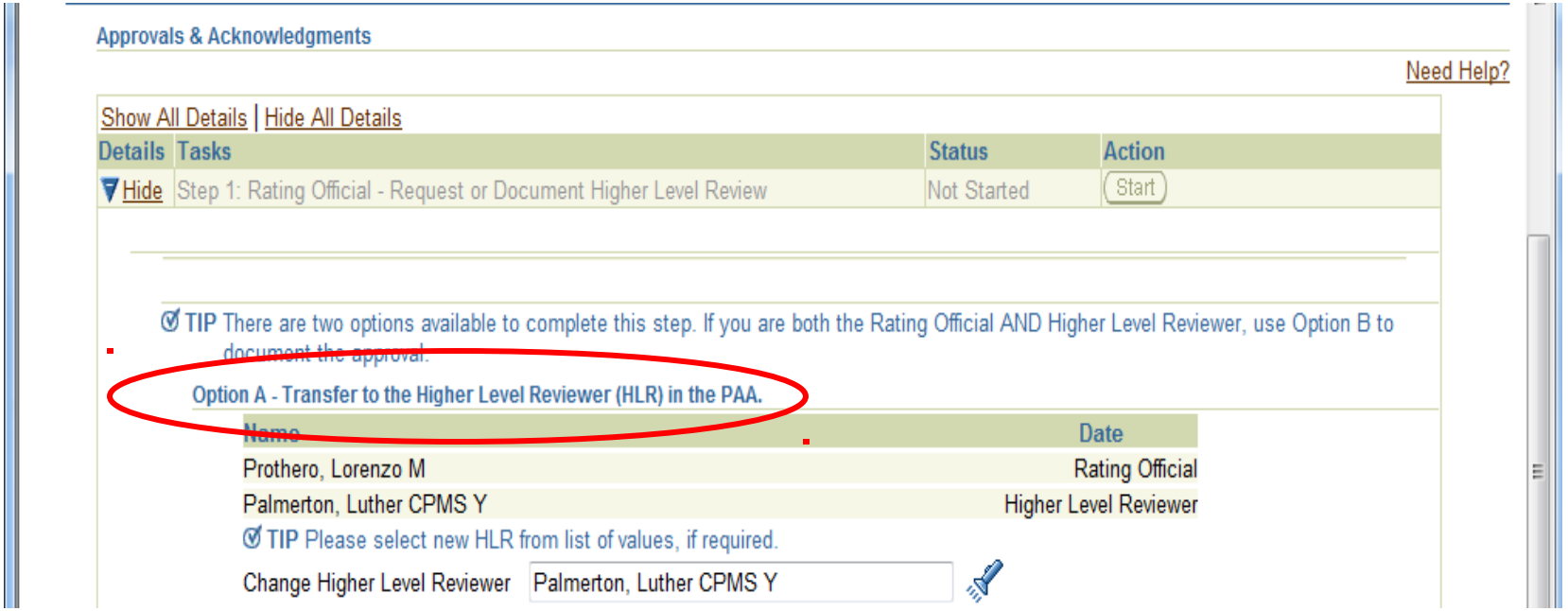
Performance Rating and Review Process



Rating Official Activities - continued

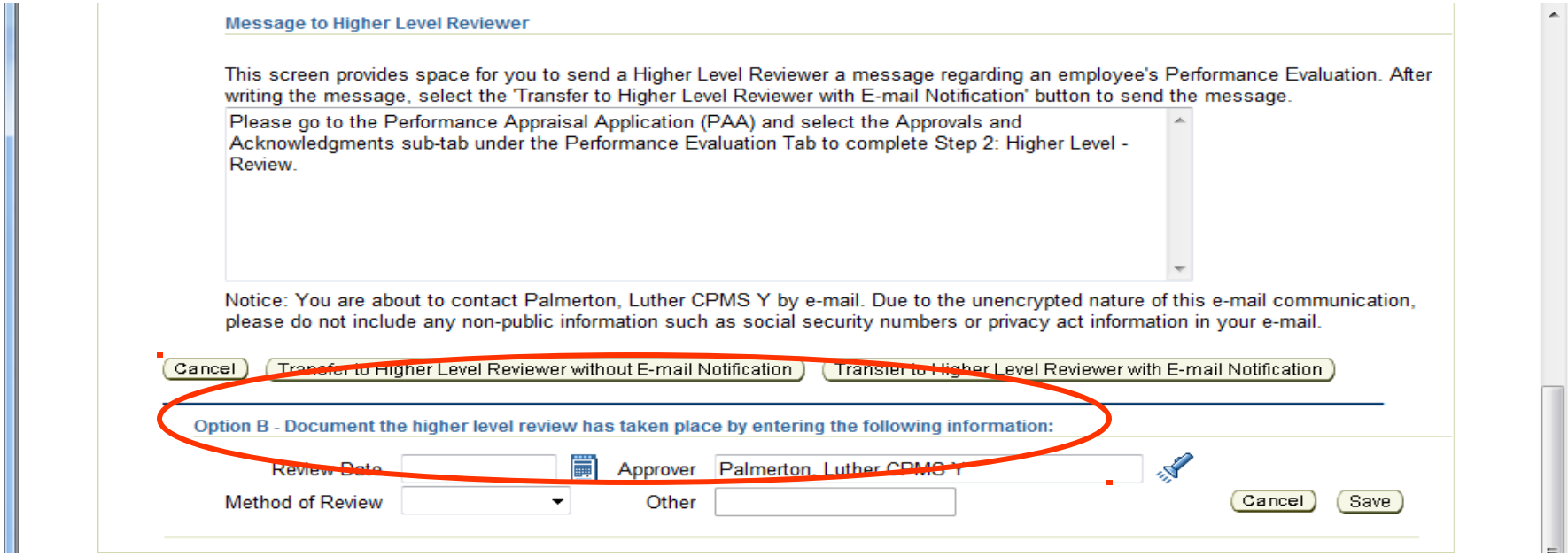
- Rating Officials should consider any closeout evaluations completed during the annual performance period. Consideration should be documented in the narrative portion for relevant objectives/elements considered.
- Some recommendations for consideration include:
  - Review all closeout evaluations completed during annual performance period
  - Engage with previous Rating Official and supervisors
  - Consider time spent in external organization
  - Review impact of mission
  - Review assignment responsibilities

Rating Phase Process Clarification



Rating Official **ONLY** selects Option A in the PAA to transfer the appraisal to the Reviewing Official/HLR for review and approval

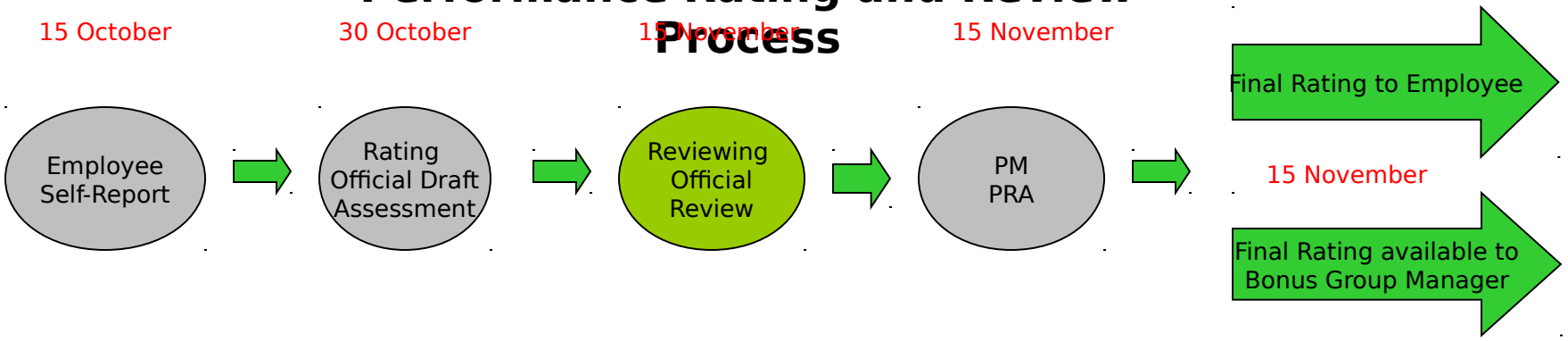
Rating Phase Process Clarification



Option B must only be used by Rating Official **after** PM PRA has completed the statistical review and has written authorization to approve evaluations on behalf of the Reviewing Official

Rating Phase Process – Reviewing Official

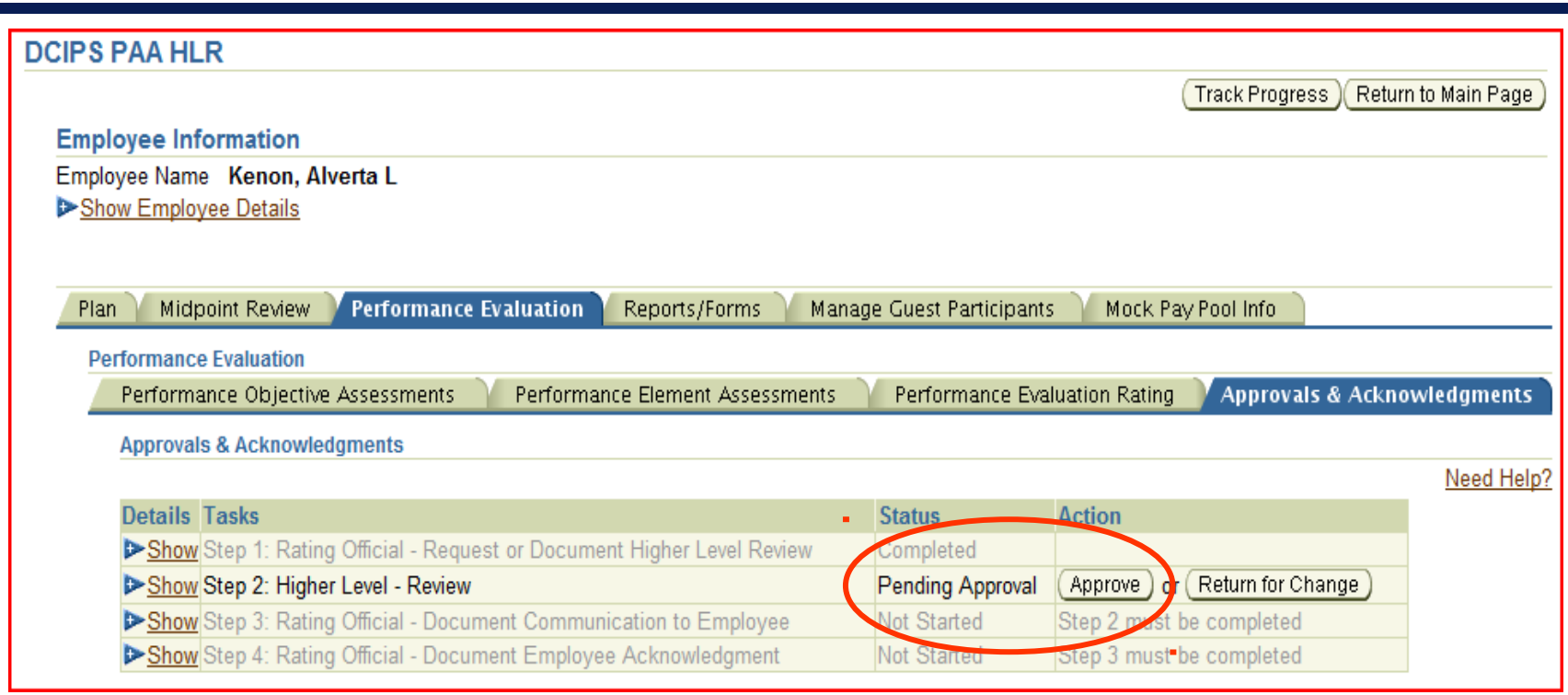
Performance Rating and Review Process



Reviewing Official Activities

- May request that the Rating Officials meet as a group to discuss consistency in applying performance standards prior to submission to the Reviewing Official
- Review all the employee performance evaluations submitted by Rating Officials under their purview for consistency and congruence of written narrative with the ratings
- Collaborate with Rating Official to discuss areas of disagreement, but may direct a change in the rating if necessary to ensure consistency in the application of standards and guidance
- Submit statistical summary data to Performance Management Performance Review Authority for final review
- Approve final evaluations of record in the PAA

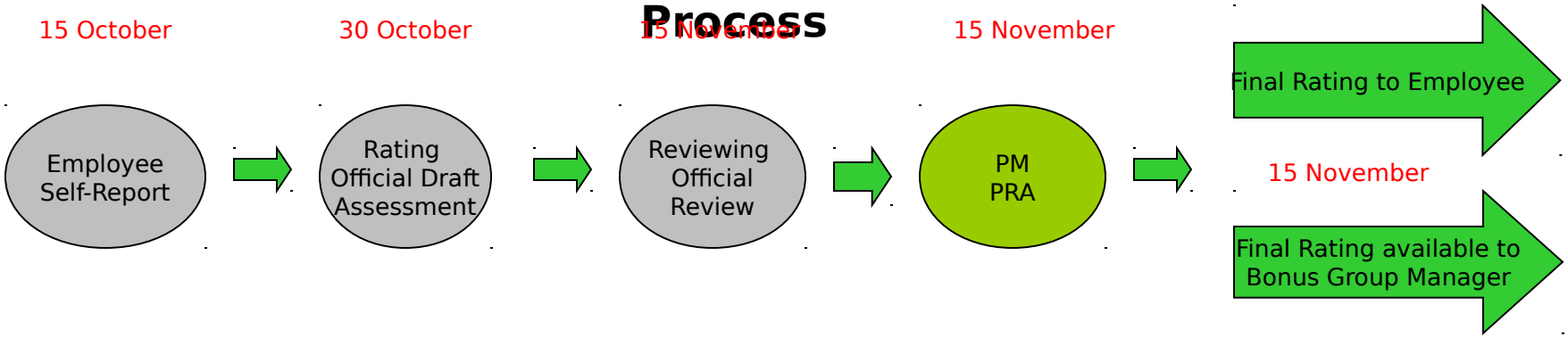
Rating Phase Process Clarification



Reviewing Official must submit pre-decisional statistical data to PM PRA for review **prior** to approving evaluations of record in the PAA

Rating Phase Process – PM PRA

Performance Rating and Review Process



PM PRA Activities

Primary Purpose: Statistical review to ensure consistency and performance differentiation across the organization.

- Must be complete no later than 45 days after the end of the rating period.
- Concurrent with Reviewing Officials review, PM PRA conducts a statistical review of the data for consistency across Rating Officials and Reviewing Officials.
- Analyzes ratings within various dimensions such as directorate, occupational series, rating and Reviewing Officials, and pay bands.

The Performance Management PRA review may run concurrently with Reviewing Official action, at the discretion of the Command.

Rating Phase Process – PM PRA Cont'd

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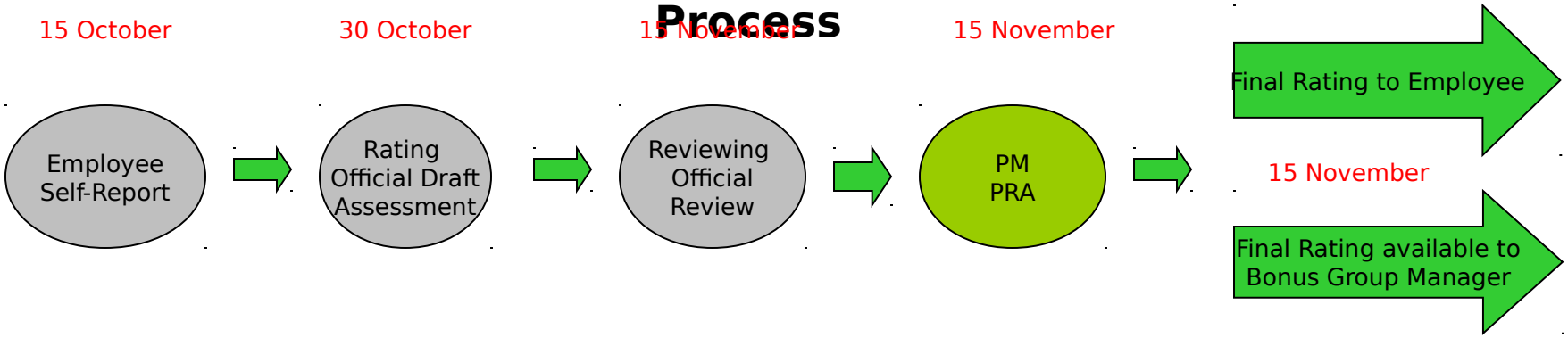
Performance Rating and Review Process

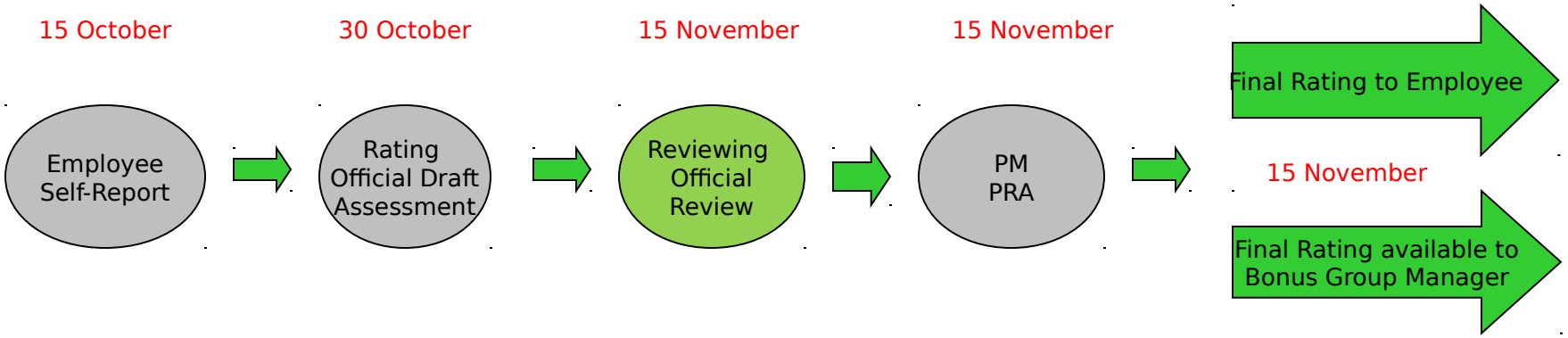


PM PRA Activities cont'd

- Rating adjustments may be *recommended* through the PM PRA review process to the Reviewing Official.
- Provides final review of statistical data of evaluations of record. Though the PM PRA cannot change an individual's evaluation of record, they may request additional support or explanation from Reviewing Officials.
- Resolves employee requests for reconsideration of evaluation of record.
- Determines the modal rating to be used for specially-situated employees.

Rating Phase Process – Completing the Rating Phase

Performance Rating and Review Process



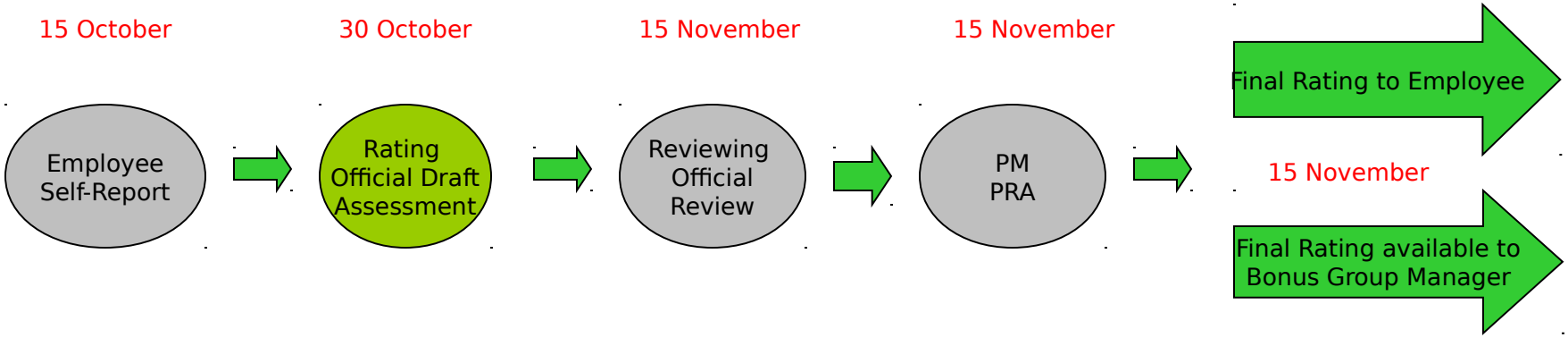
Reviewing Official Activity

- After PM PRA has completed their statistical review, Reviewing Official approve s the evaluations of record in the PAA which facilitates the transfer of the data to begin the Performance-based Bonus process.

- This action completes the Rating Phase Process.

Rating Phase Process – Communicating the Evaluation of Record

Performance Rating and Review Process



Rating Official Activities

- The Rating Official discusses the performance evaluation with the employee.
- There are no discussions regarding bonus payouts in this performance communication

SPECIALLY SITUATED EMPLOYEES

Specially-Situated Employees

Specially situated employees include:

- Employees Absent to Perform Military Service
- Employees Absent on Worker's Compensation
- Employees Absent Due to Other Special Circumstances (Long-term training, etc)

Rating Officials should complete a presumptive evaluation of record for those specially situated employees who do not have the required 90 days of civilian service under a performance plan

Specially-Situated Employees

The presumptive rating is an employee's last DCIPS summary evaluation of record prior to departure.

If no prior DCIPS performance evaluation exists, the employee is assigned the modal rating as determined at the first level of PM PRA review.

The modal rating is the most commonly-given rating for other employees under the purview of the same PM PRA.

In cases where there are more than one modal rating (i.e. nine 3.3s and nine 3.4s), the higher rating is the approved modal rating.

PERFORMANCE MANAGEMENT RATING PROCESS SUPPORT TOOL

Performance Management Rating Process Support Tool

A Performance Management Rating Tool will be available to support the Performance Management Rating Process and, at a minimum, will provide the statistical summary information for the PM PRA review process

Specific guidance on usage of tool will be provided in separate guidance at a later date

CLOSEOUT EVALUATIONS

Closeout Evaluations

A closeout performance evaluation is required only when the Rating Official and employee relationship has existed with an approved performance plan for a period of at least 90 days.

Closeout performance evaluations may, however, be completed for periods of less than 90 days in accordance with local policy or at the request of the employee.

The completed closeout evaluation are forwarded to the employee's Rating Official for consideration in the preparation of the annual evaluation of record.

Close-out Evaluations - 2 Types

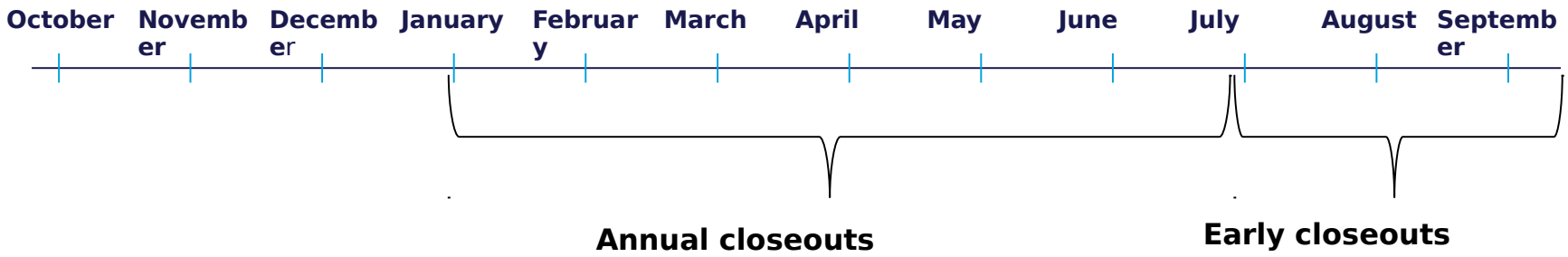
Closeout Performance

- During the standard DCIPS rating cycle (01 Oct – 30 Sep), closeouts will take place between 01 January and 30 June each year whenever there are more than 90 days remaining in the annual performance cycle.
- Closeout ratings are considered in the determination of the employee's final performance evaluation but does not stand by itself as the final evaluation of record.

Closeout Early Annual

- Will take place between 01 July and 30 September when there are less than 90 days remaining in the annual performance cycle.
- Closeout Early Annual Evaluation rating stands by itself and is considered the performance evaluation.

DCIPS Performance Management Cycle



Closeout Evaluations – Roles and Responsibilities

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Employee Activity

- Completes their written self-assessment in the Performance Appraisal Application (PAA) and transfers to the Rating Official.

Rating Official Activity

- Completes the Rating Official assessment and assign ratings. Recommended performance evaluation is transferred to the Reviewing Official for review and approval.

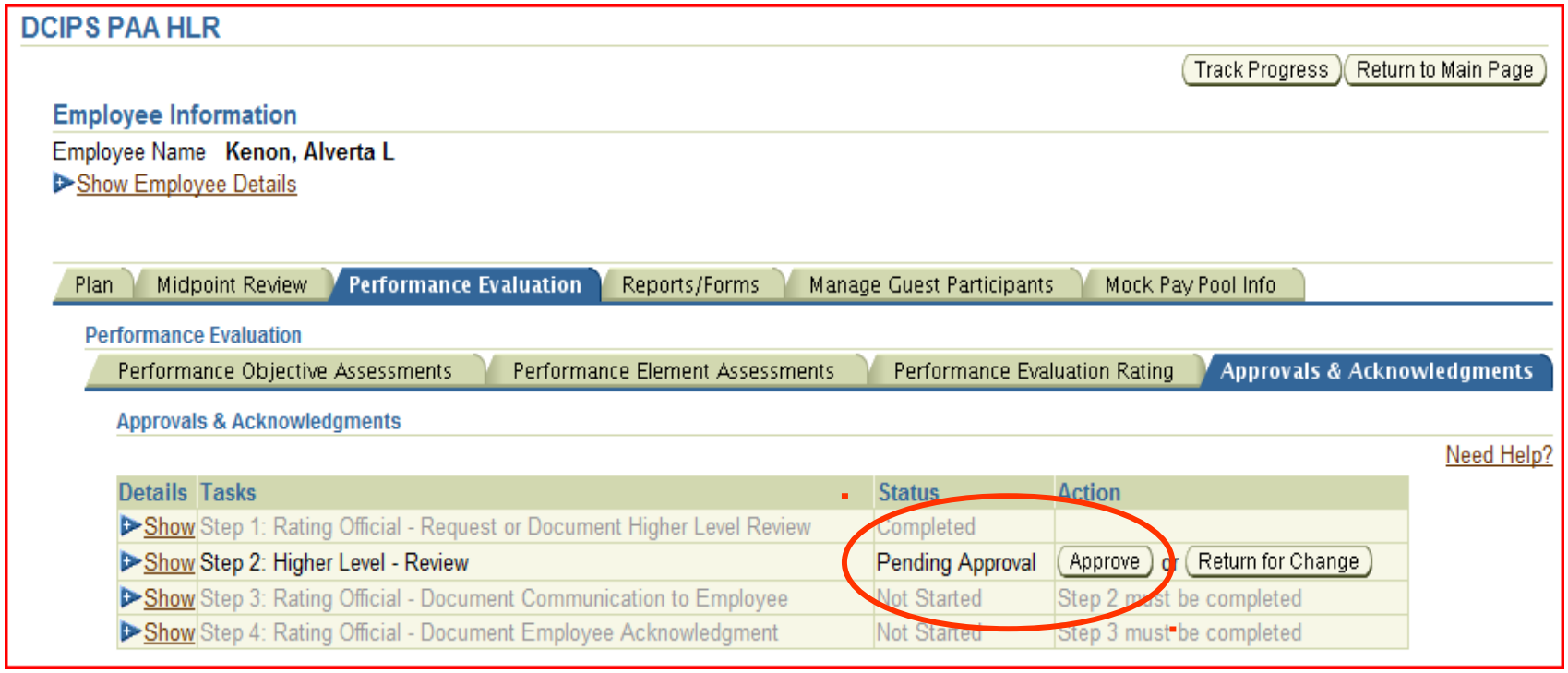
Reviewing Official Activity

- Will review and approve all closeout performance and closeout early annual evaluations. If the Reviewing Official disagrees with the rating or written assessment, it will be returned to the Rating Official for change with a justification.

PM PRA

- Will conduct a statistical review of all closeout performance and closeout early annual evaluations prior to final approval by the Reviewing Official to ensure consistency across Rating Officials and Reviewing Officials.

Closeout Evaluations – Clarification



Reviewing Official must submit pre-decisional statistical data to PM PRA for review **prior** to approving any early annual close-out evaluations (after 1 Jul) of record in the PAA

DEFINITIONS

PM PRA Delegations of Authorities

PRA Level	Delegation of Authority
Army-wide PM PRA (G2)	PM PRA authority for Army. Final review authority for official reconsideration of evaluation of record when employee disagrees with Command PM PRA decision.
Army Command PRAs	Delegated PM PRA authority for respective command. May delegate Performance Management PRA authorities (but not reconsideration authorities) to no lower than MSC Commanders (Colonel – 06 and above, or civilian equivalent) or Senior Intelligence Officer

**Note: Delegations of authority and APV-2011 revisions forthcoming*

Policy Role Definitions

Role	Responsibility
PM PRA	A senior leader within the chain of supervision who provides oversight and ensures consistency of the rating processes
Reviewing Official	An individual in the rating official's direct chain of command. The approving official for each performance evaluation under their purview.
Rating Official	Generally a supervisor within an employee's chain of command who manages performance and prepares the end-of-year performance evaluation for an employee

PAA Definitions

Role	Responsibility
Guest Rater/Reviewer	Provides recommended ratings or feedback on an employee's performance. Permission must be granted access by either the Rating or Reviewing Official.
Higher Level Reviewer (HLR)	Synonymous term for the Reviewing Official used in the PAA
Trusted Agent	Authorized by rating official to document performance management events, plans, reviews, assessments and/or final appraisals in the PAA on the behalf of the rating official. Used when there is limited access to the PAA.
Employee Self-Assessment	Term used in the Performance Appraisal Application (PAA) to describe the employee's input to the performance evaluation, whereas Employee Self-Report of Accomplishments is the term used in the

Key Definitions

Term	Definition
Close-out Early Annual	Close-outs that occur between 01 July and 30 September when there are less than 90 days remaining in the annual performance cycle
Close-out Performance	Closeouts that take occur between 01 January and 30 June each year whenever there are more than 90 days remaining in the annual performance cycle.
Evaluation of Record	The summary performance rating assigned during the annual evaluation of employee performance, and used as part of the DCIPS annual pay-decision process.
Performance Evaluation	The written and otherwise recorded evaluation of performance and accomplishments rated against DCIPS performance elements and objectives.

References

- USDI Volume 2011, Performance Management
- AP-V 2011, Performance Management
- Performance Management Handbook
- IC Performance Standards

For more information regarding the rating process, contact your Transition Manager.